

PATENT

(Practitioner's Docket No. IN-9524)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Cheng-Le ZHAO

US Serial No. Herewith

Filed: December 9, 2003

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: PROCESS FOR PRODUCTION OF POLYMER DISPERSIONS CONTAINING AN ACETOACETATE MOIETY

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g) ), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

COPIES PROVIDED:

Legible copies of all items listed on Form PTO-1449 accompany this information statement, except as indicated below:

Legible copies of all items listed on Form PTO-1449 accompany this information statement, except Copies of U.S. patents, patent applications, and publications as indicated below:

Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [ ], filed on [ ]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

Information Disclosure Statement  
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Application Serial No. [ ] was published as Publication No. [ ]. The Bibliographic information for this publication is correct, but the abstract, specification, and claims are not those of [ ]. Therefore, the bibliographic page for Publication No. [ ] is provided with a copy of the specification as filed for [ ].

**FOREIGN LANGUAGE DOCUMENTS**

- There are no foreign language documents listed on Form PTO-1449.
- The following non-English language references were cited in the specification. The English language equivalents for these references are being submitted in substitution for the non-English references.
- English language abstract for the following non-English references are enclosed.
- Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:
- No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:
- Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

**CERTIFICATION:**

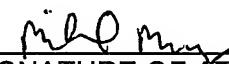
- The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.
- The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

Information Disclosure Statement  
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- Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
- That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$180.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
  - Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**
  - That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
  - Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$130.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Reg. No.: 42,906

  
SIGNATURE OF ATTORNEY and DATE

Michael F. Morgan December 9, 2003  
Type or print name of attorney

Tel. No.: ( 248 ) 948-2355

BASF Corporation  
26701 Telegraph Road  
P.O. Address

Southfield, Michigan 48034-2442

Customer No. 26922

FORM PTO-1449 (MODIFIED)	US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	Atty. Docket No. IN-9524
LIST OF ART CITED BY APPLICANT (Use sever of sheets if necessary)		In re Application of: Cheng-Le ZHAO
		Serial No.:
		Filed:

U.S. PATENT DOCUMENTS							
Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	3,459,790	8/5/69	Smith			12/20/65
	AB	3,488,708	1/6/70	Smith			12/20/65
	AC	3,554,987	1/12/71	Smith			8/22/68
	AD	3,607,834	9/21/71	Marx et al.			6/26/68
	AE	4,408,018	10/4/83	Bartman et al.			10/29/82
	AF	4,421,889	12/20/83	Braun et al.			5/13/83
	AG	4,855,349	8/8/89	Ingle			9/4/86
	AH	4,906,684	3/6/90	Say			12/9/88
	AI	5,296,530	3/22/94	Bors et al.			7/28/92
	AJ	5,349,026	9/20/94	Emmons et al.			11/20/92
	AK	5,362,816	11/8/94	Snyder et al.			6/4/92
	AAL	5,455,298	10/3/95	Farwaha et al.			7/27/94
	AM	5,484,849	1/16/96	Bors et al.			12/30/94
	AN	5,525,662	6/11/96	Lavoie et al.			7/14/93
	AO	5,534,310	7/19/96	Rokowski et al.			6/6/95
	AP	5,767,199	6/16/98	Bors et al.			7/29/92
	AQ	5,962,556	10/5/99	Taylor			5/21/97
	AR	20030195297	10/16/03	Burghart et al.			12/13/01

FOREIGN PATENT DOCUMENTS							
Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES
	AS						
	AT						
	AU						
	AV						

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AW	Stacey J. Marsh, "The Acetoacetate Functionality", 2002 FSCT International Coatings Technology Conference, New Orleans, LA, October 28-29, 2002
	AX	D.A. Upson, "Reactive Functional Latex Polymers", J. Polymer Science: Polymer Symposium 72, pp. 45-54 (1985)
	AY	Amilton Matins Dos Santos et al., "Emulsion Copolymerization of Styrene and n-Butyl Acrylate in Presence of Acrylic and Methacrylic Acids: Effect of pH on Kinetics and Carboxyl Group Distribution", J. Applied Polymer Science, Vol. 65, pp. 2343-2355 (1997)
	AZ	D. Distler et al., "Feinstruktur von Polymeren aus wäßriger Dispersion", Collid & Polymer Sci., 256, pp. 1052-1060 (1978) (English Abstract on pp 1059-1060).

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

\*Applicant has modified this form by deleting the word "prior".